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APPLICATION FOR ALCOHOLIC BEVERAGE CONTROL RETAIL LICENSE (OFF PREM-CT)

FILING CHECKLIST

APPLICANTS SHOULD KEEP A COPY OF THIS APPLICATION AND THE SUPPORTING DOCUMENTS FOR THEIR RECORDS.

This checklist has been created to better assist you with the application process. All items on the checklist must be complete and accurate. If all items in the checklist are not submitted, the application may be disapproved for Failure to Comply.

The premises to be licensed must be solely used for providing off premises catering for not less than fifty persons. On premises consumption is not permitted with this license.

Applicants MUST submit the following sections of the license application when filing the application:

Application Wizard Cover Page

Application

Right to Premises

Landlord Identification

Financial Disclosure

Establishment Questionnaire

Method of Operation

Personal Questionnaire (for each Principal, Lender, Donor, Joint Account Holder, etc. - signed and dated)

Notice of Appearance (if represented by someone other

than the applicant principals)

Applicant's Statement (signed and dated)

Applicants MUST submit the following Supporting Documents when filing the application:

Bond, Form L-9 (signed by an applicant principal and expiring at the end of the initial licensing term)

Detailed Diagrams of the interior of the premises (see diagram instructions and examples at the end of this application)

Financial Records showing the source and availability of funds to be used for the venture

Lease/Deed/Contracts (you must provide proof that you have full control over the premises)

Menu

Photo Identification for all applicant principals (copies only)

Photos of applicant principals

Photos of the proposed premises (exterior and interior - including bar, kitchen/food preparation area)

Proof of Country of Citizenship for all applicant principals NOT currently licensed with the NYS Liquor Authority (e.g., copy of Birth Certificate, US Passport, Certificate of Naturalization, Permanent Resident Card)

Submission of all the fees associated with this application (see Application Wizard Cover Page)

Applicants MUST submit the following Supporting Documents before a license can be issued (Conditions of Approval):

Assumed Name Filing Receipt (if DBA is used)

Certificate of Authority to Collect NYS Sales Tax

NYS Department of State Corporate Filing Receipt or Business Certificate from County Clerk if Sole Proprietor or Partnership

Photos of the premises showing it ready to open and operate

Workers' Compensation & Disability Insurance Policy numbers AND carrier names OR a Certificate of Attestation of Exemption from coverage

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LICENSE

APPLICATION FOR ALCOHOLIC BEVERAGE CONTROL RETAIL LICENSE (OFF-PREM-CT)

It is not necessary to employ any person, agency or organization to assist you in filing this application. Beware of persons claiming to be able to assist you in securing action on your application. The payment of money or other thing of value for the use of influence, or promise of

njiu	ence in obtaining a license is a violation of law c	ana ojjenaers wiii be j	prosecutea.		
1. /	APPLICANT Name of Applicant: (e.g., Sole Proprietor, Partnership, Corporation, LLC, LLP, LP, etc.)				
	Trade Name(DBA): (see instructions) ** must be called by any name other than as listed in the "Na		ill be		
	Premises Street Address:				
	City:		, NY	Zip Code:	
	County:	Telephone Numb	er of Premises (ir	nclude area code):	
	Mailing Address (if different than above):				
	City:	State:		Zip Code:	
	E-mail address (required):				
	Business Website:				
2. (CONTACT (if different than applicant))			
	Name of Contact:		Attorney	Representative	Contact Persor
	Office Address:				
	City:	State:		Zip Code:	
	Telephone Number of Office (include area co	ode):			
	E-mail address (required):				

3. Federal Tax ID Number:

4. Certificate of Authority to Collect NYS Sales Tax:

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DATE FILED:		SERIAL #:		
Approved Disapproved				
			License Board Member	Date

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8. TO BE FILLED IN ONLY BY SOLE PROPRIETOR OR PARTNERS (attach additional sheets if necessary)						
Name of Individual/Partner	Residence	Social Security #:	Date of Birth			
Name of Individual/Partner	Residence	Social Security #:	Date of Birth			
Name of Individual/Partner	Residence	Social Security #:	Date of Birth			
Name of Individual/Partner	Residence	Social Security #:	Date of Birth			

9. TO BE FILLED IN ONLY BY CORPORATION OR LLC/LLP APPLICANTS (attach additional sheets if necessary)

Please list the names and addresses of Principals (Stockholders, Officers, Directors, LLC Members/Managers, LLP Partners)

Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth
Name of Principal	Residence	Social Security #:
Title	No. of Shares if Corporation OR % of ownership if LLC or Partnership	Date of Birth

Note:

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^{*}If 10 or less shareholders, list all stockholders, officers, directors, LLC members and LLC managers, if any. Provide Personal Questionnaires, proof of citizenship, copy of photo identification, original photo and fingerprints for all shareholders owing 10% or more of any class of its shares.

^{*}If more than 10 shareholders, list all shareholders owning 10% or more of any class of its shares. Also, include any officers, directors, shareholders, LLC members, LLC managers and trustees. Provide Personal Questionnaires, proof of citizenship, copy of photo identification, original photo and fingerprints for those individuals. Provide a listing of all other shareholders owning less that 10% interest. Include their name, home address, social security number, date of birth, shares or percentage of ownership, title, citizenship and any statutory disqualifications.

NEW YORK
STATE OF OPPORTUNITY.

State Liquor
Authority

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RIGHT TO PREMISES

1. RIG	. RIGHT TO PREMISES							
1a. B	y what right	does the a	pplicant have pos	session of the premises?				
	Own	Lease	Sub-Lease	Binding contract to acqui	re real proper	ty '	Written inte	nt to lease
	Other (expl	ain):						
Mon must 1b. D	th to month match the o the terms	leases or rapplicant r	month to month r name exactly. se or other arrango	n of the license period or at lenewal terms are not accepted the applicant	table. The ten	ant name		
If YE lease		the section that the section can be	n/page of the be found:	ne receipts of the business?				
Does o	r will anyon	e other tha	n the applicant/p	rincipals share on a percent	age basis or ir	n any way i	n the receip	ts, losses
or defi	ciencies of th	he business	s to any extent wh	natsoever?	Yes	No		
If YES, p	olease state	the names	and addresses of	such persons, the nature and	d percent of th	neir share a	ınd date acq	uired.
Name			Address		Nature o	of interest		Date Acquired
Name			Address		Nature o	of interest		Date Acquired
Name			Address		Nature o	of interest		Date Acquired
Name			Address		Nature o	of interest		Date Acquired

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LANDLORD IDENTIFICATION INFORMATION

orm must be applicant.

	In order to obtain the most accurate info completed and submitted regardless of					
1.	Name of Landlord (as it appears on lease deed):	e and				
2.	Landlord Mailing Address					
	Street Address:					
	City:	State:		Z	ip Code:	
3.	Telephone Number of Landlord:					
4.	Landlord Principals (ALL landlord princip	oals must be disclose	ed below)			
	Name	Address (if differe	ent than Land	llord's mailir	ng address	above)
	Name	Address (if differe	ent than Lanc	llord's mailir	ng address	above)
	Name	Address (if differe	ent than Lanc	dlord's mailir	ng address	above)
	Name	Address (if differe	ent than Lanc	dlord's mailir	ng address	above)
5.	Are any persons listed on this Landlord previously licensed under the ABC Law		currently or		Yes	No
Se	erial Number	Licensee Name				
Se	erial Number	Licensee Name				
Se	erial Number	Licensee Name				
6.	Are any persons listed on this form police	e officers?	Yes	No		
	If yes, list names below: Name					
	Name					

7. List number of years real property has been owned or legally controlled by the landlord:

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FINANCIAL DISCLOSURE

Applicants must demonstrate the costs and the sources of funding for this venture. All investors must be disclosed. Personal Questionnaires must be submitted for all investors, joint account holders, donors or lenders (excluding banking institutions).

The Total Investment (Total Cash plus the Total Borrowed) must equal or exceed the Total Expenses.

1. EXPENSES (Actual or Estimated)

- 1a. Real Property (if purchased within the past year by the applicant or any of its principals):
- **1b.** Purchase/Contract Price of Business (submit copy of contract):
- 1c. Renovations/Improvement Costs (e.g., furnishings, fixtures, etc.):
- **1d.** Miscellaneous (any other expense related to this venture):

TOTAL EXPENSES

Total of lines 1a through 1d

2. CASH*

*Cash includes funds on hand that do not need to be repaid. For example, checking or savings accounts or gifted funds. Attach copies of bank statements or other financial documentation for **EACH** source of cash.

2a. Source of Funds	Personal Questionnaire attached	Dollar Amount
2b. Source of Funds	Personal Questionnaire attached	Dollar Amount
2c. Source of Funds	Personal Questionnaire attached	Dollar Amount

TOTAL CASH

Total of All Cash Expended 3. BORROWED*

*Borrowed funds include funds that must be repaid. For example, loans, mortgages, lines of credit and promissory notes. Attach copies of agreements or other financial documentation for EACH source of borrowed monies.

3a. Source of Funds	Personal Questionnaire attached	Dollar Amount
3b. Source of Funds	Personal Questionnaire attached	Dollar Amount
3c. Source of Funds	Personal Questionnaire attached	Dollar Amount

TOTAL BORROWED

Total of All Borrowed Funds

4. Have all investors been disclosed in this application? TOTAL INVESTMENT

Total Cash plus Total Borrowed

Yes No

The following person(s) MAY NOT invest in a retail license to traffic in alcoholic beverages: convicted felons, persons under the age of twenty-one (21), police officers and anyone with an interest in a wholesale or manufacturing license.

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ESTABLISHMENT QUESTIONNAIRE

ttached" In th

n tl	this section you must describe to any questio	-			ALL questions c or prevent the	•		
	Helpful Hint: Drawing				otographs may end of this appl	-	ompletin	g this section.
1.	. Zoning							
	1a. State what the area is zo (e.g., Residential, Business, P.							
2.	. Premises							
	2a. Describe the type of build will be located.	ding in which	the premises	;				
	2b. Is or has the building/pro	pposed prem	ises been kno	wn by any o	ther address?	Yes	No	
	If YES, please specify:							
	2c. Is there currently an activinal coholic beverages at			been a lice	nse to traffic			
		Currently	/ Licensed	Previou	sly Licensed	Never Licens	sed	Do Not Know
	Name of Licensee:				L	icense Serial Nu	mber:	
	2d. Are there any disciplinar	y actions per	nding against t	the applicant	t, current license	e or prior licens	ee?	
		Yes	No	Do Not	Know			
	Any pending disciplinary	action may	delay a deter	mination or	this application	or result in the	disappr	oval.
	2e. If the proposed premises	s has never b	een licensed,	what was th	e prior use?			
	2f. Is any other floor or area	of the buildir	ng currently lic	censed?	Yes	No		
	Name of Licensee:				Li	cense Serial Nu	mber:	

3.

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Premises (interior):				
3a. List the total number of floors in the building as a whole, including	the basement:			
3b. List the floor(s) where the proposed premises will be located: (e.g., basement, ground floor, 2nd & 3rd floor, etc.)				
3c. Where is the alcohol stored?				
3d. Is there interior access to any other floor(s) or area(s) that will not If yes, show the means of access on the interior diagram(s).	be part of the premis Yes	es to be licensed?		
3e. Are the premises to be licensed divided in any way, by a public or p applicant does not have exclusive possession and control? (e.g., hallway, stairwells, common areas, etc.)	rivate passageway, o Yes	verwhich the		
If YES, describe:				
4. Does the premises have adequate kitchen facilities for the prepara	tion of meals for at le	east 50 persons?	Yes	No

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PROPOSED METHOD OF OPERATION

This form satisfies Section 110 of the ABC Law requiring that a statement be submitted indicating the type of establishment being operated.

The information in this section will be the method of operation you are approved for and will be binding. Should you wish to deviate from this method of operation in any way, you must first apply for and receive permission from the Authority.

1. Will any other business of any kind be cor (If YES, please provide details on a s	Yes	No				
2. Will the business employ a manager?	Yes	No				
2a. If NO, will the principal(s) manage?	Yes	No				
3. How many employees? (excluding princi	ipals and sec	curity personnel)				
3a. If the answer is "0" please provide an ex	planation:					
4. Provide a detailed plan of supervision for th	e events to	be licensed. Clear	ly describe h	low you will maintain control and		

order over the event premises. How will you monitor alcohol sales and prevent sales to minors and sales to intoxicated persons? How will you handle unruly guests, altercations, etc., to prevent the premises from becoming disorderly? Include additional sheets if necessary.

- LICENSEE WILL BE REQUIRED TO OBTAIN AN OFF-PREMISES CATERING ESTABLISHMENT EVENT PERMIT FOR EACH EVENT
- THE FUNCTION/EVENT MUST BE PRIVATE (NOT OPEN TO THE PUBLIC). IT SHOULD BE INVITATION/RSVP IN ADVANCE WITH GUEST LIST OR TICKET PURCHASE IN ADVANCE.
- PLEASE REVIEW ADVISORY #2022-36 FOR CATERING EVENT PERMIT CONDITIONS

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NEW YORK STATE OF OPPORTUNITY.	State Liquor Authority
OPPORTUNITY.	Authority

Signature

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APPLICANT STATEMENT

I, [print name] (the sole proprietor, partner, corporate principal or, LLC/LLP mer understand that the State Liquor Authority will rely on each and every answer in accompanying documents in reaching its determination and state, under penalty statements and representations therein are true to the best of my knowledge are	the application and yof perjury, that all
I state that the location and description of the premises to be licensed does not of the ABC law or other state or local ordinances; and	violate any requirement
I understand that if any change occurs in the information provided to the Author licensee must notify the Authority by certified mail within 48 hours and if any change of the license, the licensee must notify the Authority by certified mail within 10 of failure to give such notice may result in disapproval of the application or revocat license for which this application is submitted; and	nange occurs after receipt days. I understand that
I understand that the licensee will be bound by the statements and representati application, including, but not limited to the licensee's method of operation and with an ownership or financial interest in the licensed premises; and that all stat representations made become conditions of the license; and	the identity of persons
I understand that any physical alterations to, or changes to the size of the area used consumption of alcoholic beverages, must be reported to the Authority and may the Authority; and	
I understand that the licensee must keep the Authority advised of any change in the licensee, the licensee's principals, and the licensee's landlord.	the mailing addresses of
I understand that the licensee's failure to operate the licensed premises in accor statements and representations made in the application may result in revocation the application was submitted; and	

I understand that any false statement or misrepresentation will constitute cause for disapproval of the

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application or revocation or non-renewal of any license for which this application is submitted.

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PERSONAL QUESTIONNAIRE

a. All principals to the license application must complete this questionnaire in full.

(e.g., lenders, donors, guarantors and managers must also complete this questionnaire.)

- b. If you are a lender, donor or guarantor you must state your relationship to the applicant.
- c. Make duplicate blank forms as necessary.
- d. Answer all questions below.
- e. Attach additional sheets if more space is needed.

Name of Applicant

1. STATE OF IDENTIFICATION Print YOUR name		Date of Birth	Social Security Number
Residence Street Address			Gender Male Female
City	State Zip Code	Residence Telephone	e Cellular Telephone
E-mail Address	U.S Citizen Yes No		country of citizenship
Married If Married, Spouse Yes No	Name	Spe	ouse Social Security Number

2. POSITION (or interest) you will hold (check each);

President	Director	Stockholder>	Number of shares owned
Vice President	Manager	LLC Member>	Percentage of ownership
Secretary	Partner	LLC Manager	
Treasurer	General Partner	Lender*	
Chairman	Limited Partner	Donor*	
Officer	Sole Proprietor	Guarantor*	
ABC Officer	Joint Account Holder	Trustee	
Other (describe)			

^{*}If Lender, Donor, or Guarantor please state your relationship to the applicant.

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Print YOUR Name

3. K	RESIDENCE HISTORY
	List your residence history for the past FIVE (5) years to the PRESENT DATE.
А	Address

From (mm/yyyy) To (mm/yyyy)

Address From (mm/yyyy) To (mm/yyyy)

Address From (mm/yyyy) To (mm/yyyy)

Address From (mm/yyyy) To (mm/yyyy)

4. EMPLOYMENT HISTORY

List your employment history for the past FIVE (5) years to PRESENT DATE. Also, list any employment history that shows experience in the alcohol industry. Add additional sheets if necessary.

From (mm/yyyy) To (mm/yyyy) **Employer**

Position Employer Address

Type of Business

From (mm/yyyy) To (mm/yyyy) Employer

Position Employer Address

Type of Business

From (mm/yyyy) To (mm/yyyy) Employer

Position Employer Address

Type of Business

Print YOUR Name

5(a) If you are an applicant (e.g., proprietor, partner, stockholder, officer or director) or applicant's spouse, will you continue your present occupation or business?

Yes

No

5(b) Will you take an active part in the operation of the business to be licensed?

Yes

No

If YES, please explain the nature of activity and the hours you will devote to the business (hours, days, responsibilities):

5(c) Do you have any interest, direct or indirect, in any premises currently licensed by the Liquor Authority or business where any alcoholic beverage is manufactured, transported or sold at wholesale or retail whether by stock ownership, interlocking directors, mortgage or lien on, or ownership of any real or personal property, or by any other means including loans?

Yes No

If YES, please provide information below:

Business Name

Business Address

Type of Interest

Date Interest Began License Serial Number

Business Name

Business Address

Type of Interest

Date Interest Began License Serial Number

Business Name

Business Address

Type of Interest

Date Interest Began License Serial Number

Print YOUR Name

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5. LICENSE HISTORY / AFFILIATIONS

5(d) Other than as itemized in 5(c) above, have you ever applied in New York	State
or anywhere for a license or permit to traffic in alcoholic beverages, inclu	ıding
any application as a partnership, limited partnership, limited liability enti	ty or
corporation in which you are/were a principal?	

Yes No

If YES, please provide information below:

Address of Premises Name of Applicant

Disposition Date of Filing License Serial Number

Address of Premises Name of Applicant

Disposition Date of Filing License Serial Number

Name of Applicant Address of Premises

Disposition Date of Filing License Serial Number

Address of Premises Name of Applicant

Disposition Date of Filing License Serial Number

5(e) Has a license or permit listed above been REVOKED, CANCELLED or otherwise **Involuntarily Terminated?**

Yes No

If YES, please provide information below:

5(f) Are you a police commissioner or law enforcement / police officer? If YES, please provide details:

Yes

No

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Print YOUR Name				
6. CONVICTION RECORD AND PENDING CRIMINAL CASES				
6(a) Have you or your spouse ever been convicted of a crime addressed by the provisions of Section 126 of the ABC Law (see instructions for statutory disqualifications) which would forbid a person to traffic in alcoholic beverages?		Yes	No	
		Yes	No	
If YES, please provide details				
6(b) Have you or your spouse ever been CONVICTED (including pleas of guilty or suspended sentences) of any felony, misdemeanor, driving while intoxicated (DWI), or driving while ability impaired (DWAI)? If the applicant answers YES, please attach a Certificate of Disposition by the court	YOU	Yes	No	
clerk for each case. If convicted of a felony, please submit a Certificate of Relief from Disabilities, if available. Please submit an Affidavit explaining all details.	SPOUSE	Yes	No	
If the Spouse answers YES to this question, please submit a Personal Questionnaire for the Spouse along with a Certificate of Disposition.				
6(c) If you have previously been approved for a license and had been convicted of any felony, misdemeanor or other type of offense except minor traffic infractions, were all convictions reported to the Authority?	YOU	Yes	No	
If NO, please attach a Certificate of Disposition by the court clerk for each case.		ot Appli		
If convicted of a felony, please submit a Certificate of Relief from Disabilities, if available. Please submit an affidavit explaining all details.		SPOUSE Yes No Not Applicable		
6(d) Are there any ARRESTS, INDICTMENTS or SUMMONSES PENDING against you or your spouse - including driving while intoxicated or impaired?	YOU	Yes	No	
If YES, please provide a copy of the Accusatory Instrument.	SPOUSE	Yes	No	
7. Do you have any relationship with the current / past owner of the business at this location?	YOU	Yes	No	
	SPOUSE	Yes .	No	
If YES, please state exactly what the relationship is. (e.g., family member, frier	ıd, employe	r, etc.)		

8. Signature: _____

Date: _____

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DIAGRAM INSTRUCTIONS

All diagrams must be submitted on 8-1/2" x 11" sheets of paper.

Do not use graph paper as this cannot be clearly scanned.

Diagrams:

- Each and every floor should have its own diagram (including any floor used for the storage of alcoholic beverages or office space where books and records are maintained.) Label each floor (e.g., basement, ground floor, second floor, etc.)
- Provide the interior and exterior dimensions of the premises.
- Label **all** rooms, including but not limited to: storage rooms, offices, restrms, etc.
- Show all interior and exterior walls, entrances and exits, stairways elevators, trap doors, sanitary facilities, display windows or other openings, counters, closets, shelves, storage areas and any other notable features. Leave space between the exterior walls and paper's edge.
- If the premises occupies a portion of a floor, depict the entire floor of the building and show the proposed licensed premises' location on the floor. Show all points of access to and from the premises and label any shared/common areas.
- If the premises is a structure other than a building the diagram must clearly depict all aspects of the structure.

